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04-11-01

PTO/SB/05 (11-00)

Approved for use through 10/31/2002 OMB 0651-0032

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# UTILITY PATENT APPLICATION TRANSMITTAL

Attorney Docket No 32887-256195

First Inventor Roger Tambay

Title Systems and Methods for Facilitating Transactions in A Commodity Marketplace

Express Mail Label No EL 834 335 274 US

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 35]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the invention
  - Brief Summary of the invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 5]
5. Oath or Declaration [Total Pages ]
  - a. ☐ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for a continuation/divisional with Box 18 completed)
  - c. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
6. ☐ Application Data Sheet. See 37 CFR 1.76

## ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATIONS PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 C.F.R. §3.73(b) Statement of Power of Attorney (when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other: Transmittal under 37 CFR 1.41(c)

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. \_\_\_\_ / \_\_\_\_  
Prior application information. Examiner \_\_\_\_ Group / Art Unit \_\_\_\_

For CONTINUING or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

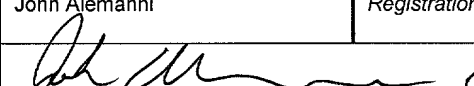
## 17. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☒ Correspondence address below

Name	Charles W. Calkins				
	Kilpatrick Stockton LLP				
Address	1001 West Fourth Street				
City	Winston-Salem	State	NC	Zip Code	27282
Country	USA	Telephone	336-607-7315	Fax	336-607-7500

Name (Print/Type)	John Alemanni	Registration No. (Attorney/Agent)	47,384
Signature		Date	April 10, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231

EXPRESS MAIL CERTIFICATE

"Express Mail" mailing label number: EL 834 335 274 US

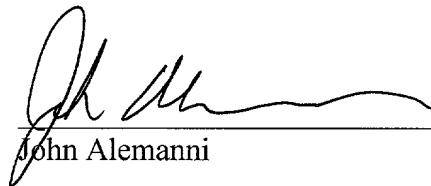
Date of Deposit: April 10, 2001

Type of Document(s): Utility Patent Application Transmittal Letter;  
Transmittal of Application under 37 CFR.  
1.41(c);  
Fee Transmittal for FY 2001;  
35 pages of Specifications;  
Five (5) pages of Drawings;  
Check in the amount of \$962.00; and  
Return postcard

Serial No.: Not Assigned

Date Filed: Herewith

I hereby certify that the documents identified above are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and are addressed to the Assistant Commissioner for Patents, Box Patent Application, Washington, D.C. 20231.

  
John Alemanni

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**FEE TRANSMITTAL  
for FY 2001**

Patent fees are subject to annual revision

**Complete if Known**

Application Number	
Filing Date	April 10, 2001
First Named Inventor	Roger Tambay
Examiner Name	
Group / Art Unit	

**TOTAL AMOUNT OF PAYMENT** (\$) 962

Attorney Docket No 32887-256195

**METHOD OF PAYMENT (check one)**1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:Deposit  
Account  
NumberDeposit  
Account  
Name

- ☐ Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17
- ☐ Applicant claims small entity status  
See 37 CFR 1.27

2. ☒ Payment Enclosed.
☒ Check    ☐ Credit card    ☐ Money  
Order    ☐ Other
**FEE CALCULATION****1. BASIC FILING FEE**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	710
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

**SUBTOTAL (1)**

(\$ 710)

**2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
34	-20 = 14	X 18	= 252
Independent Claims	2	-3 = 0	X 80 = 0
Multiple Dependent	0	X 270 = 0	

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)**

(\$ 252)

\*\*or number previously paid, if greater, For Reissues, see above

**FEE CALCULATION (continued)**

Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	130	123	130	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

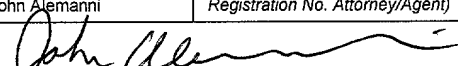
Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)**

(\$ 0)

**SUBMITTED BY****Complete (if applicable)**

Name (Print/Type)	John Alemanni	Registration No. Attorney/Agent)	47,384	Telephone	336-607-7311
Signature				Date	April 10, 2001

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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Express Mail Number: EL 834 335 274 US  
Attorney Docket Number: 32887.256195

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Roger Tambay, Anthony R. Lettich, James K. Caldwell and  
Sean A. Bowen

Serial No. : To be Assigned

Filing Date : Transmitted Herewith

For : Systems and Methods for Facilitating Transactions in A  
Commodity Marketplace

Assistant Commissioner for Patents  
Box: PATENT APPLICATION  
Washington, D.C. 20231

**TRANSMITTAL OF APPLICATION UNDER 37 CFR 1.41(e)**

Sir:

The undersigned attorney hereby makes application for U.S. Letters Patent on behalf of Applicants Roger TAMBAY, Anthony R. LETTICH, Sean A. BOWEN and James K. CALDWELL, whose addresses and citizenship are as follows:

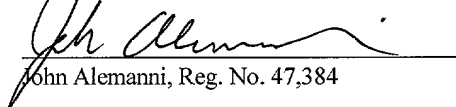
Inventors	Address	Citizenship
Roger Tambay	1012 Winchester Lane Kingsport, TN 37660	U.S.A.
Anthony R. Lettich	111 Keeland Drive Johnson City, TN 37615	U.S.A.
James K. Caldwell	269 Sugar Hollow Trail Piney Flats, TN 37686	U.S.A.
Sean A. Bowen	3227 Asbury Square Atlanta, GA 30346	U.S.A.

Applicants claim the benefit, under 35 USC § 119, of U.S. Provisional Application Serial Number 60/195,778 filed April 10, 2000 and U.S. Provisional Application Serial Number 60/202,752 filed May 8, 2000.

Please address all correspondence and telephone calls in connection with this application to:

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336/607-7300 - phone  
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Respectfully submitted,

  
John Alemanni, Reg. No. 47,384

Date: April 10, 2001  
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32887-256195  
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